

Form PTO-1449

LIST OF PRIOR ART CITED  
BY APPLICANT

(Use several sheets if necessary)

ATTORNEY DOCKET NO.

AUS920030556US1

SERIAL NO.

10/757,197

APPLICANT DeWitt, Jr. et al.

FILING DATE January 14, 2004

GROUP ART UNIT 2192 2194

## RELATED PATENT APPLICATIONS

EXAM INITIAL		APPLICATION NO/ ATTY. DOCKET NO.	APPLICANT	TITLE	FILING DATE
SGN	AA	10/675,777 / AUS920030477US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Instruction Execution and Data Accesses	Sep. 30, 2003
SGN	AB	10/674,604 / AUS920030478US1	DeWitt, Jr. et al.	Method and Apparatus for Selectively Counting Instructions and Data Accesses	Sep. 30, 2003
SGN	AC	10/675,831 / AUS920030479US1	DeWitt, Jr. et al.	Method and Apparatus for Generating Interrupts Upon Execution of Marked Instructions and Upon Access to Marked Memory Locations	Sep. 30, 2003
SGN	AD	10/675,778 / AUS920030480US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Data Accesses and Instruction Executions that Exceed a Threshold	Sep. 30, 2003
SGN	AE	10/675,776 / AUS920030481US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Execution of Specific Instructions and Accesses to Specific Data Locations	Sep. 30, 2003
SGN	AF	10/675,751 / AUS920030482US1	DeWitt, Jr. et al.	Method and Apparatus for Debug Support for Individual Instructions and Memory Locations	Sep. 30, 2003
SGN	AG	10/675,721 / AUS920030483US1	Levine et al.	Method and Apparatus to Autonomically Select Instructions for Selective Counting	Sep. 30, 2003
SGN	AH	10/674,642 / AUS920030484US1	Levine et al.	Method and Apparatus to Autonomically Count Instruction Execution for Applications	Sep. 30, 2003
SGN	AI	10/674,606 / AUS920030485US1	Levine et al.	Method and Apparatus to Autonomically Take an Execution on Specified Instructions	Sep. 30, 2003
SGN	AJ	10/675,783 / AUS920030486US1	Levine et al.	Method and Apparatus to Autonomically Profile Applications	Sep. 30, 2003
SGN	AK	10/675,872 / AUS920030487US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Instruction and Memory Location Ranges	Sep. 30, 2003
SGN	AL	10/757,250 / AUS920030488US1	Levine et al.	Method and Apparatus for Maintaining Performance Monitoring Structures in a Page Table for use in Monitoring Performance of a Computer Program	Jan. 14, 2004
SGN	AM	10/757,186 / AUS920030540US1	DeWitt, Jr. et al.	Method and Apparatus for Qualifying Collection of Performance Monitoring Events by Types of Interrupt when Interrupt Occurs	Jan. 14, 2004
SGN	AN	10/757,198 / AUS920030541US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Interrupts by Type	Jan. 14, 2004
SGN	AO	10/757,192 / AUS920030543US1	DeWitt, Jr. et al.	Method and Apparatus for Providing Pre and Post Handlers for Recording Events	Jan. 14, 2004
SGN	AP	10/757,248 / AUS920030544US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Instruction Execution and Data Accesses to Identify Hot Spots	Jan. 14, 2004
SGN	AQ	10/757,256 / AUS920030545US1	DeWitt, Jr. et al.	Method and Apparatus for Autonomic Detection of Cache "Chase Tail" Conditions and Storage of Instructions/Data in "Chase Tail" Data Structure	Jan. 14, 2004
SGN	AR	10/757,269 / AUS920030549US1	DeWitt, Jr. et al.	Method and Apparatus for Autonomically Initiating Measurement of Secondary Metrics Based on Hardware Counter Values for Primary Metrics	Jan. 14, 2004
SGN	AS	10/757,237 / AUS920030550US1	DeWitt, Jr. et al.	Autonomic Method and Apparatus for Counting Branch Instructions to Improve Branch Predictions	Jan. 14, 2004
SGN	AT	10/757,171 / AUS920030551US1	DeWitt, Jr. et al.	Autonomic Method and Apparatus for Hardware Assist for Patching Code	Jan. 14, 2004
SGN	AU	10/757,156 / AUS920030552US1	DeWitt, Jr. et al.	Autonomic Method and Apparatus for Local Program Code Reorganization Using Branch Count per Instruction Hardware	Jan. 14, 2004
SGN	AV	10/757,212 / AUS920030553US1	DeWitt, Jr. et al.	Method and Apparatus for Generating Interrupts Based on Arithmetic Combinations of Performance Counter Values	Jan. 14, 2004
SGN	AW	10/757,249 / AUS920030554US1	DeWitt, Jr. et al.	Method and Apparatus for Identifying False Cache Line Sharing	Jan. 14, 2004
SGN	AX	10/757,227 / AUS920030555US1	DeWitt, Jr. et al.	Method and Apparatus for Autonomically Moving Cache Entries to Dedicated Storage when False Cache Line Sharing is Detected	Jan. 14, 2004

DATE CONSIDERED 08/29/2006

EXAMINER /Samuel Neway/

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

**Complete if Known**

Application Number	10/757,197
Filing Date	01-14-2004
First Named Inventor	DeWitt, Jr. et al.
Examiner Name	Dam, Tuan Quang
Art Unit	2192 2194
Attorney Docket No.	AUS920030556US1

Examiner Initials	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SGN AA	5394529	02-28-1995	Brown, III et al.	
SGN AB	6233679 B1	05-15-2001	Holmberg	
SGN AC	5887159	03-23-1999	Burrows	
SGN AD	6662295 B2	12-09-2003	Yamaura	
SGN AE	5938760	08-17-1999	Levine et al.	
SGN AF	6189072 B1	02-13-2001	Levine et al.	
SGN AG	5276833	01-04-1994	Auvinen et al.	
SGN AH	5287481	02-15-1994	Lin	
SGN AI	5537572	07-16-1996	Michelsen et al.	
SGN AJ	5805879	09-08-1998	Hervin et al.	
SGN AK	6647301 B2	11-11-2003	Sederlund et al.	
SGN AL	6735666 B1	05-11-2004	Koning	
SGN AM	2004/0153612 A1	08-05-2004	Mutz et al.	
SGN AN	2005/0091456 A1	04-28-2005	Huck	
SGN AO	2005/0108483 A1	05-19-2005	Bungo	

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Examiner Initial	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

**NON PATENT LITERATURE**

Examiner Initial	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
SGN AP	JEONG et al., "Cost Sensitive Cache Replacement Algorithms", June 2002, Second Workshop on Caching, Coherence and Consistency, NY, pp. 1-14.

Examiner: /Samuel Neway/

Date Considered: 08/29/2006

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APR 25 2006

Examiner Initials	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SGN AA	5,797,019	08-18-1998	Levine et al.	
SGN AB	6,549,998 B1	04-15-2003	Pekarich et al.	
SGN AC	2003/0101367 A1	05-29-2003	Bartfal et al.	
SGN AD	5,113,507	05-12-1992	Jaekel	
SGN AE	6,681,387 B1	01-20-2004	Hwu et al.	
SGN AF	6,925,424 B2	08-02-2005	Jones et al.	

**FOREIGN PATENT DOCUMENTS**

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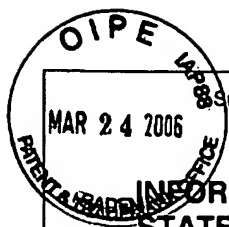
**NON PATENT LITERATURE**

Examiner Initial	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
SGN AG	Wikipedia "JavaServer Pages" downloaded 1/24/06 <a href="http://en.wikipedia.org/wiki/JavaServer_Pages">http://en.wikipedia.org/wiki/JavaServer_Pages</a>
SGN AH	"Hardware Cycle Based memory Residency", IBM, May 22, 2003, ip.com, IPCOM000012728D, pp. 1-2
SGN AI	HYDE, "The Art of Assembly Language", 2001, Linux Edition, pp. 247-248, retrieved Mar. 1, 2005 from <a href="http://webster.cs.ucr.edu/AoA/Linux/PDFs/0_PDFIndexLinux.html">http://webster.cs.ucr.edu/AoA/Linux/PDFs/0_PDFIndexLinux.html</a>

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Complete if Known	
Application Number	10/757,197
Filing Date	01-14-2004
First Named Inventor	DeWitt, Jr. et al.
Examiner Name	Dam, Tuan Quang
Art Unit	2192 2194
Attorney Docket No.	AUS920030556US1

Examiner Initials	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SGN AA	5,710,881	01-20-1998	Gupta et al.	
SGN AB	5,822,763	10-13-1998	Baylor et al.	
SGN AC	5,928,334	07-27-1999	Mandym et al.	
SGN AD	6,094,709	07-25-2000	Baylor et al.	
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SGN AF	6,636,950 B1	10-21-2003	Mithal et al.	
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Examiner Initial	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
SGN AH	TANENBAUM, "Structured Computer Organization", 1984, Prentice-Hall, Inc., 2 <sup>nd</sup> Edition, pp. 10-12. <i>Not mentioned</i>
SGN AI	TORRELLAS et al., "False Sharing and Spatial Locality in Multiprocessor Caches", June 1994, IEEE Transactions on Computers, Vol. 43, No. 6, pp. 651-663.
SGN AJ	ROTHMAN et al., "Analysis of Shared Memory Misses and Reference Patterns", 2000, IEEE, pp. 187-198. <i>Not mentioned</i>

Examiner: /Samuel Neway/

Date Considered: 08/29/2006

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		10757197
	Filing Date		2004-01-14
	First Named Inventor	DeWitt, Jr. et al.	
	Art Unit	2192 2194	
	Examiner Name	Dam, Tuan Quang	
	Attorney Docket Number	AUS920030556US1	

U.S. PATENTS							Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear		
SGN	1	6944720	B2	2005-09-13	Sperber et al.			
SGN	2	7035996	B2	2006-04-25	Woodall et al.			
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Application Number		10757197
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Examiner Name	Dam, Tuan Quang	
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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
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<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

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Complete If Known

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Application Number 10/757,197  
 Filing Date 01-14-2004  
 First Named Inventor DeWitt, Jr. et al.  
 Examiner Name Dam, Tuan Quang  
 Art Unit 2182 2194  
 Attorney Docket No. AUS920030556US1

Examiner Initials	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SGN AA	6,149,318	11-21-2000	Chase et al.	
SGN AB	6,185,671 B1	02-06-2001	Pentovski et al.	
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Examiner Initial	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

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<b>F m PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>	ATTORNEY DOCKET NO. <b>AUS920030556US1</b>	SERIAL NO. <b>Not Assigned</b> <i>10257197</i>
	APPLICANT <b>DeWitt, Jr. et al.</b>	
	FILING DATE	GROUP ART UNIT <b>Not Assigned</b>

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
SGN	AA 5,103,394	Apr. 7, 1992	Blasclak	395/575	Dec. 21, 1989
SGN	AB 6,330,662 B1	Dec. 11, 2001	Patel et al.	712/236	Feb. 23, 1999
SGN	AC 6,480,938 B2	Nov. 12, 2002	Vondran, Jr.	711/125	Dec. 15, 2000
SGN	AD 6,430,741 B1	Aug. 6, 2002	Mattson, Jr. et al.	717/154	Feb. 26, 1999
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SGN	AF 5,930,508	Jul. 27, 1999	Faraboschi et al.	395/706	Jun. 9, 1997
SGN	AG 6,351,844 B1	Feb. 26, 2002	Bala	717/4	Nov. 5, 1998
SGN	AH 6,324,689 B1	Nov. 27, 2001	Lowney et al.	717/9	Sep. 30, 1998
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SGN	AJ 5,774,724	Jun. 30, 1998	Helsch	395/704	Nov. 20, 1995
SGN	AK 5,987,250	Nov. 16, 1999	Subrahmanyam	395/704	Aug. 21, 1997
SGN	AL 6,192,513 B1	Feb. 20, 2001	Subrahmanyam	717/5	Nov. 2, 1998
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SGN	AN 6,223,338 B1	Apr. 24, 2001	Smolders	717/4	Sep. 30, 1998
SGN	AO 6,101,524	Aug. 8, 2000	Choi et al.	709/102	Oct. 23, 1997
SGN	AP 6,256,775 B1	Jul. 3, 2001	Flynn	717/4	Dec. 11, 1997
SGN	AQ 6,446,029 B1	Sep. 3, 2002	Davidson et al.	702/186	Jun. 30, 1999
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DATE CONSIDERED 08/29/2006

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			APPLICANT <b>DeWitt, Jr. et al.</b>			
			FILING DATE		GROUP ART UNIT <b>Not Assigned</b>	

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE	
SGN	BB	2002/0129309	Sep. 12, 2002	Floyd et al.	714/724	Dec. 18, 2000
SGN	BC	2001/0032305	Oct. 18, 2001	Barry	712/34	Feb. 23, 2001
SGN	BD	2002/0199179	Dec. 26, 2002	Lavery et al.	717/158	Jun. 21, 2001
SGN	BE	2002/0124237	Sep. 5, 2002	Sprunt et al.	717/127	Dec. 29, 2000
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SGN	BG	2002/0019976	Feb. 14, 2002	Patel et al.	717/137	May 25, 2001

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EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO	
SGN	BH	JP2000029731	Dec. 8, 1999	Japan	G06F 9/38	X
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SGN	BJ	Kikuchi, "Parallelization Assist System" Joho Shori, Vol. 34, No. 9, Sept. 1993, pp. 1158-1169. <i>NO ENGLISH TRANSLATION</i>
SGN	BK	Cohen et al., "Hardware-Assisted Characterization of NAS Benchmarks", Cluster Computing, Vol. 4, No. 3, July 2001, pp. 189-196.
SGN	BL	Talla et al., "Evaluating Signal Processing and Multimedia Applications on SIMD, VLIW and Super Scalar Architectures", International Conference on Computer Design, Austin, Sept. 17-20, 2000, pp. 163-172.
SGN	BM	Iwasawa et al., "Parallelization Method of Fortran DO Loops by Parallelizing Assist System", Transactions of Information Processings Society of Japan, Vol. 36, No. 8, Aug. 1995, pp. 1995-2006.
SGN	BN	Talla et al., "Execution Characteristics of Multimedia Applications on a Pentium II Processor", IEEE International Performance, Computing, and Communications Conference, 19 <sup>th</sup> , Phoenix, Feb. 20-22, 2000, pp. 516-524.
SGN	BO	IBM Research Disclosure Bulletin 444188, "Enable Debuggers as an Objective Performance Measurement Tool for Software Development Cost Reduction", April 2001, pp. 686-688.

RELATED PATENT APPLICATIONS				
EXAMINER INITIAL	APPLICATION NO/ ATTY. DOCKET NO.	APPLICANT	TITLE	FILING DATE
SGN	BP 09/435,069 AT9-99-491	Davidson et al.	Method and Apparatus for Instruction Sampling for Performance Monitoring and Debug	Nov. 4, 1999
SGN	BQ 08/538,071 AUT919950055US1	Gover et al.	Method and System for Selecting and Distinguishing an Event Sequence using an Effective Address in a Processing System	Oct. 2, 1995

DATE CONSIDERED 08/29/2006	EXAMINER /Samuel Neway/
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	Filing Date		2004-01-14
	First Named Inventor	DeWitt, Jr. et al.	
	Art Unit	2422 2194	
	Examiner Name	Dam, Tuan Quang	
	Attorney Docket Number	AUS920030556US1	

## U.S. PATENTS

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Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
SGN	1	6973417	B1	2005-12-06	Maxwell et al.	
SGN	2	6721875	B1	2004-04-13	McCormick et al.	

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Application Number		10757197
Filing Date		2004-01-14
First Named Inventor	DeWitt, Jr. et al.	
Art Unit	2122 2194	
Examiner Name	Dam, Tuan Quang	
Attorney Docket Number	AUS920030556US1	

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